

**TRANSMITTAL LETTER TO THE UNITED STATES**  
**DESIGNATED/ELECTED OFFICE (DO/EO/US)**  
**CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

GB920030112US1

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/597,363

INTERNATIONAL APPLICATION NO.  
PCT/EP2004/053237INTERNATIONAL FILING DATE  
12/02/2004PRIORITY DATE CLAIMED  
01/21/2004

## TITLE OF INVENTION

**Method and Apparatus for Controlling Access to Logical Units**

## APPLICANT(S) FOR DO/EO/US

**Robert Bruce NICHOLSON, Nicholas Michael O'ROURKE**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1.  This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2.  This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3.  This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (25) indicated below.
4.  The US has been elected (Article 31).
5.  A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a.  is attached hereto (required only if not communicated by the International Bureau).
  - b.  has been communicated by the International Bureau.
  - c.  is not required, as the application was filed in the United States Receiving Office (RO/US).
6.  An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))
  - a.  is attached hereto.
  - b.  has been previously submitted under 35 U.S.C. 154(d)(4).
7.  Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a.  are attached hereto (required only if not communicated by the International Bureau).
  - b.  have been communicated by the International Bureau.
  - c.  have not been made; however, the time limit for making such amendments has NOT expired.
  - d.  have not been made and will not be made.
8.  An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9.  An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10.  An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11.  A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12.  A copy of the International Search Report (PCT/ISA/210).

**Items 13 to 23 below concern document(s) or information included:**

13.  An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14.  An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15.  A **FIRST** preliminary amendment.
16.  A **SECOND** or **SUBSEQUENT** preliminary amendment.
17.  An Application Data Sheet under 37 CFR 1.76.
18.  A substitute specification.
19.  A power of attorney and/or change of address letter.
20.  A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
21.  A second copy of the published International Application under 35 U.S.C. 154(d)(4).
22.  A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
23.  Express Mail Label No.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO (if known, see 37 CFR 1.5) <b>10/597,363</b>		INTERNATIONAL APPLICATION NO. <b>PCT/EP2004/053237</b>		ATTORNEY'S DOCKET NUMBER <b>GB920030112US1</b>																																																																																																																																															
24. Other items or information:																																																																																																																																																			
<p>The following fees have been submitted:</p> <table border="1"> <tr> <td>25. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a)).....</td> <td>\$310</td> <td>\$</td> <td>\$0.00</td> <td></td> </tr> <tr> <td>26. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article</td> <td>\$0</td> <td>\$</td> <td>\$0.00</td> <td></td> </tr> <tr> <td>All other situations.....</td> <td>\$210</td> <td></td> <td></td> <td></td> </tr> <tr> <td>27. <input type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4). . . . .</td> <td>\$0</td> <td>\$</td> <td>\$0.00</td> <td></td> </tr> <tr> <td>Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....</td> <td>\$100</td> <td></td> <td></td> <td></td> </tr> <tr> <td>International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB. ....</td> <td>\$410</td> <td></td> <td></td> <td></td> </tr> <tr> <td>All other situations.....</td> <td>\$510</td> <td></td> <td></td> <td></td> </tr> <tr> <td colspan="2"><b>TOTAL OF 25, 26 and 27 =</b></td> <td>\$</td> <td><b>\$0.00</b></td> <td></td> </tr> <tr> <td colspan="6"><input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) in an electronic medium or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$260 for each additional 50 sheets of paper or fraction thereof.</td> </tr> <tr> <td>Total Sheets</td> <td>Extra Sheets</td> <td>Number of each additional 50 or fraction thereof (round up to a whole)</td> <td>RATE</td> <td></td> <td></td> </tr> <tr> <td>- 100 =</td> <td>0 /50 =</td> <td>0</td> <td>x \$260.00</td> <td>\$</td> <td><b>\$0.00</b></td> </tr> <tr> <td colspan="6">Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).</td> </tr> <tr> <td>CLAIMS</td> <td>NUMBER FILED</td> <td>NUMBER EXTRA</td> <td>RATE</td> <td></td> <td></td> </tr> <tr> <td>Total claims</td> <td>- 20 =</td> <td>0</td> <td>x \$50.00</td> <td>\$</td> <td><b>\$0.00</b></td> </tr> <tr> <td>Independent claims</td> <td>- 3 =</td> <td>0</td> <td>x \$210.00</td> <td>\$</td> <td><b>\$0.00</b></td> </tr> <tr> <td colspan="2">MULTIPLE DEPENDENT CLAIMS (if applicable)</td> <td><input type="checkbox"/></td> <td>+ \$370.00</td> <td>\$</td> <td><b>\$0.00</b></td> </tr> <tr> <td colspan="4"><b>TOTAL OF ABOVE CALCULATIONS =</b></td> <td>\$</td> <td><b>\$0.00</b></td> </tr> <tr> <td colspan="6"><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.</td> </tr> <tr> <td colspan="4"><b>SUBTOTAL =</b></td> <td>\$</td> <td><b>\$0.00</b></td> </tr> <tr> <td colspan="6">Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).</td> </tr> <tr> <td colspan="4"><b>TOTAL NATIONAL FEE =</b></td> <td>\$</td> <td><b>\$0.00</b></td> </tr> <tr> <td colspan="6">Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +</td> </tr> <tr> <td colspan="4"><b>TOTAL FEES ENCLOSED =</b></td> <td>\$</td> <td><b>\$0.00</b></td> </tr> <tr> <td colspan="4"></td> <td><b>Amount to be</b></td> <td>\$</td> </tr> <tr> <td colspan="4"></td> <td><b>Amount to be</b></td> <td>\$</td> </tr> </table>						25. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a)).....	\$310	\$	\$0.00		26. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article	\$0	\$	\$0.00		All other situations.....	\$210				27. <input type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4). . . . .	\$0	\$	\$0.00		Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....	\$100				International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB. ....	\$410				All other situations.....	\$510				<b>TOTAL OF 25, 26 and 27 =</b>		\$	<b>\$0.00</b>		<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) in an electronic medium or computer program listing in an electronic medium) (37 CFR 1.492(j)). 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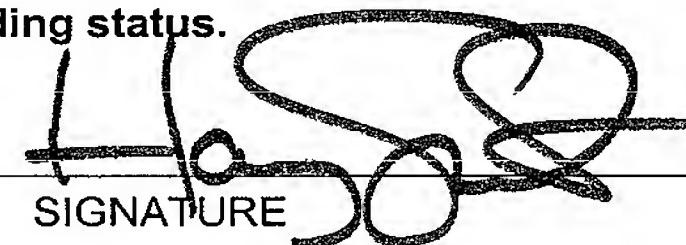
- a.  A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b.  Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 09-0466. A duplicate copy of this sheet is enclosed.
- d.  Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038. The PTO-2038 should only be mailed or faxed to the USPTO. However, when paying the basic national fee, the PTO-2038 may NOT be faxed to the USPTO.

**ADVISORY:** If filing by EFS-Web, do **NOT** attach the PTO-2038 form as a PDF along with your EFS-Web submission. Please be advised that this is **not** recommended and by doing so your **credit card information may be displayed via PAIR**. To

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Customer No. 49,132



SIGNATURE

Harry Smith

32,493

REGISTRATION NUMBER



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
[www.uspto.gov](http://www.uspto.gov)

NFS

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/597,363	Robert Bruce Nicholson	GB920030112US1
49132	US ACTION	INTERNATIONAL APPLICATION NO.
HARRINGTON & SMITH, PC	DUE DATE <u>8/9/08</u>	PCT/EP2004/053237
4 RESEARCH DRIVE	PAPER DATED <u>7/9/08</u>	I.A. FILING DATE
SHELTON, CT 06484-6212	CA <u>FINAL</u>	PRIORITY DATE
	(AISG/PD) DWG _____	12/02/2004
	APPEAL _____ ISSUE FEE _____	01/21/2004
	OTHER <u>Defective Resp.</u>	

CONFIRMATION NO. 9883  
371 FORMALITIES LETTER



\*OC00000003081923\*

Date Mailed: 07/09/2008

## NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- Priority Document
- Copy of the International Application filed on 07/21/2006
- Copy of the International Search Report filed on 07/21/2006
- Copy of IPE Report filed on 07/21/2006
- Preliminary Amendments filed on 07/21/2006
- Information Disclosure Statements filed on 07/21/2006
- Oath or Declaration filed on 07/03/2008
- U.S. Basic National Fees filed on 07/21/2006
- Priority Documents filed on 07/21/2006

Applicant's response filed 07/03/2008 is hereby acknowledged. The following requirements set forth in the NOTIFICATION of MISSING REQUIREMENTS mailed 06/18/2008 have not been completed.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - Inventor O'ROURKE, Nicholas, Michael is on the International Published Application under the Patent Cooperation Treaty (PCT) but he nor his signature is on the Oath submitted to USPTO on July 3, 2008. Please clarify.

**Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).**

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.  
<https://spotal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at <http://www.uspto.gov/ebc>.

**If you are not using EFS-Web to submit your reply, you must include a copy of this notice.**

ULYSSES G WALKER

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Telephone: (703) 308-9290 EXT 130